

SCC eFile	2012 ANNUAL REPORT COMMONWEALTH OF VIRGINIA STATE CORPORATION COMMISSION	212541389				
<div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> <p>1.) CORPORATION NAME: FINRA Regulation, Inc.</p> <p>2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS: CORPORATE CREATIONS NETWORK INC 4445 CORPORATION LN 2ND FL VIRGINIA BEACH, VA 23462</p> <p>3.) CITY OR COUNTY OF VA REGISTERED OFFICE: VIRGINIA BEACH CITY</p> <p>4.) STATE OR COUNTRY OF INCORPORATION: DE</p> </div> <div style="width: 35%;"> <p>DUE DATE: 12/31/2012</p> <p>SCC ID NO: F1276775</p> <p>5.) STOCK INFORMATION</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">CLASS</td> <td style="width: 50%;">AUTHORIZED</td> </tr> <tr> <td>COMMON</td> <td>2,000</td> </tr> </table> </div> </div>			CLASS	AUTHORIZED	COMMON	2,000
CLASS	AUTHORIZED					
COMMON	2,000					
<p>6.) PRINCIPAL OFFICE ADDRESS:</p> <p style="text-align: center;">ADDRESS: 1735 K STREET NW</p> <p style="text-align: center;">CITY/ST/ZIP: WASHINGTON, DC 20006</p>						
<p>7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.</p>						
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; vertical-align: top;"> NAME: MARCIA E. ASQUITH TITLE: SR VP/CORP SEC ADDRESS: 1735 K STREET NW CITY/ST/ZIP/CO: WASHINGTON, DC 20006 </td> <td style="width: 5%; text-align: center; vertical-align: middle;"> <input checked="" type="checkbox"/> </td> <td style="width: 40%; text-align: center; vertical-align: middle;"> OFFICER <input type="checkbox"/> DIRECTOR </td> </tr> </table>			NAME: MARCIA E. ASQUITH TITLE: SR VP/CORP SEC ADDRESS: 1735 K STREET NW CITY/ST/ZIP/CO: WASHINGTON, DC 20006	<input checked="" type="checkbox"/>	OFFICER <input type="checkbox"/> DIRECTOR	
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NAME:	J. BRADLEY BENNETT	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	EVP		
ADDRESS:	1735 K STREET NW		
CITY/ST/ZIP/CO:	WASHINGTON , DC 20006		
NAME:	MARTIN P. COLBURN	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	EVP		
ADDRESS:	1735 K STREET NW		
CITY/ST/ZIP/CO:	WASHINGTON, DC 20006		
NAME:	ROBERT COLBY	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	CLO		
ADDRESS:	1735 K STREET NW		
CITY/ST/ZIP/CO:	WASHINGTON, DC 20006		
NAME:	TRACY JOHNSON	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	SVP		
ADDRESS:	1735 K STREET NW		
CITY/ST/ZIP/CO:	WASHINGTON, DC 20006		
NAME:	THOMAS M. SELMAN	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	EVP		
ADDRESS:	1735 K STREET NW		
CITY/ST/ZIP/CO:	WASHINGTON, DC 20006		
NAME:	GRACE B. VOGEL	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	EVP		
ADDRESS:	1735 K STREET NW		
CITY/ST/ZIP/CO:	WASHINGTON, DC 20006		
NAME:	GERALDINE M. WALSH	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VICE PRESIDENT		
ADDRESS:	1735 K STREET NW		
CITY/ST/ZIP/CO:	WASHINGTON, DC 20006		
NAME:	JED E. BANDES	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	2963 GULF OF BAY BLVD		
CITY/ST/ZIP/CO:	CLEARWATER, FL 33759		
NAME:	CHARLES A. BOWSHER	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	4503 BOXWOOD ROAD		
CITY/ST/ZIP/CO:	BETHESDA, MD 20816		
NAME:	JOHN J. BRENNAN	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	400 DEVON PARK DRIVE		
CITY/ST/ZIP/CO:	WAYNE, PA 19087		
NAME:	JAMES E. BURTON	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	1655 13TH AVENUE		
CITY/ST/ZIP/CO:	SACRAMENTO, CA 95818		

NAME:	KEVIN CARRENO	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	300 S ORANGE AVENUE		
CITY/ST/ZIP/CO:	ORLANDO, FL 32801		
NAME:	MARK S. CASADY	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	ONE BEACON STREET		
CITY/ST/ZIP/CO:	BOSTON, MA 02108		
NAME:	JOHN F.X. DOLAN	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	834 UPPER HOLLOW ROAD		
CITY/ST/ZIP/CO:	STOWE, VT 05672		
NAME:	W. DENNIS FERGUSON	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	1489 W. PALMETTO PARK ROAD		
CITY/ST/ZIP/CO:	BOCA RATON, FL 33486		
NAME:	GARY H. FLEMING	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	1585 BROADWAY		
CITY/ST/ZIP/CO:	NEW YORK, NY 10019		
NAME:	HARVEY J. GOLDSCHMID	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	435 WEST 116TH STREET		
CITY/ST/ZIP/CO:	NEW YORK, NY 10027		
NAME:	WILLIAM H. HEYMAN	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	385 WASHINGTON STREET		
CITY/ST/ZIP/CO:	SAINT PAUL, MN 55102		
NAME:	DR. SHIRLEY ANN JACKSON	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	110 EIGHTH STREET		
CITY/ST/ZIP/CO:	TROY, NY 12180		
NAME:	KEN NORENSBERG	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	29 FROST LANE		
CITY/ST/ZIP/CO:	LAWRENCE , NY 11559		
NAME:	RICHARD S. PECHTER	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	500 PARK AVENUE		
CITY/ST/ZIP/CO:	NEW YORK, NY 10022		
NAME:	JOHN W. SCHMIDLIN	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	15 SPRINGCROFT ROAD		
CITY/ST/ZIP/CO:	FAR HILLS, NJ 07931		

NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	JOEL SELIGMAN DIRECTOR 240 WALLIS HALL ROCHESTER , NY 14627	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	GARY H. STERN DIRECTOR 1727 HUMBOLDT AVE S MINNEAPOLIS, MN 55403	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	KURT P. STOCKER DIRECTOR 630 ZUNI COURT TAOS, NM 87571	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	SETH H. WAUGH DIRECTOR 60 WALL STREET NEW YORK, NY 10005	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
NAME: TITLE: ADDRESS: CITY/ST/ZIP/CO:	JAMES D. WEDDLE DIRECTOR 12555 MANCHESTER ROAD ST. LOUIS, MO 63131	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.			
/s/ MARCIA E. ASQUITH SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	MARCIA E. ASQUITH, SR VP/CORP SEC PRINTED NAME AND CORPORATE TITLE	10/26/2012 DATE	
It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.			